

UIC CODE

471-1

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Translation

OR

Principles and guidance covering agreements for the management of border sections

Règles et recommandations en matière d'accords sur l'exploitation des sections frontières
Bestimmungen für die Betriebsführung auf grenzüberschreitenden Strecken



INTERNATIONAL UNION
OF RAILWAYS



Documents

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Leaflet to be classified in volume:

IV - Operating

Application :

With effect from 1 June 2014

All members of the International Union of Railway

Record of updates

4th edition, January 1981

5th edition, February 2001 Computerisation of the leaflet in FrameMaker

6th edition, June 2014 Overhaul of the leaflet

The person responsible for this leaflet is indicated in the UIC Code

Contents

Summary	1
1 - Introduction	2
1.1 - Purpose of the leaflet.....	2
1.2 - Presentation of the leaflet.....	2
1.3 - Agreements between RUs	3
2 - IM-IM agreement	4
2.1 - General principles.....	4
2.2 - Communications.....	8
2.3 - Equipment: Designation and nomenclature - Maintenance management.....	9
2.4 - Train acceptance	15
2.5 - Operations	16
2.6 - Management of technical investigations after incidents and accidents	22
2.7 - Liabilities	23
2.8 - Occupational safety	23
2.9 - Appendices.....	24
3 - IM-RU agreement	25
List of abbreviations	26
Bibliography	27

Summary

In order to become a key document for interoperability, *UIC Leaflet 471-1* has been totally reshaped in the light of the TSI (Technical Specifications of Interoperability) for the "Traffic Operation and Management" sub-system of the trans-European conventional rail system, in accordance with the *Directive 2001/16/EC*.

Its new objective is thus to provide IMs with appropriate tools that should help them to:

- define the context and all aspects of the connection and management of border sections with the aim of creating secure, unobstructed and non-discriminatory traffic flows;
- make agreements between:
 - two neighbouring IMs;
 - the IM(s) designated to manage a border section and the RU(s) that run(s) trains on it.

1 - Introduction

1.1 - Purpose of the leaflet

In order to become a key document for interoperability, *UIC Leaflet 471-1* has been totally reshaped in the light of the TSI (Technical Specifications of Interoperability) for the "Traffic Operation and Management" sub-system of the trans-European conventional rail system, in accordance with the *Directive 2001/16/EC* (see [Bibliography - page 27](#)).

Its new objective is thus to provide IMs (see [List of abbreviations - page 26](#)) with appropriate tools that should help them to:

- define the context and all aspects of the connection and management of border sections with the aim of creating secure, unobstructed and non-discriminatory traffic flows;
- make agreements between:
 - two neighbouring IMs;
 - the IM(s) designated to manage a border section and the RU(s) (see [List of abbreviations](#)) that run(s) trains on it.

1.2 - Presentation of the leaflet

This leaflet contains lists of topics, guidelines and recommendations to be considered when preparing Agreements on the management and operation of border sections.

It is split into two sections according to the aim of the agreement and the matters to be taken into account:

Section 1 "IM-IM agreement" (see [point 2 - page 4](#))

Agreement between two neighbouring IMs.

- Level 1 (generic) :
 - Covers all border sections between two IMs;
 - Encompasses principles for managing all aspects of all border sections;
- Level 2 (local) :
 - Covers a single border section;
 - Encompasses specific management arrangements for a single border section, including operational and maintenance aspects.

Section 2 "IM-RU agreement" (see [point 3 - page 25](#))

Agreement between the IM(s) designated to manage a border section and the RU(s) that run(s) trains on it.

Within EU, IMs have the obligation to communicate information on specific operational matters to RUs according to European requirements. As a consequence, matters in connection with that obligation are indicated in this leaflet in **bold script**, as a "reminder" for IMs.

1.3 - Agreements between RUs

Matters requiring agreement between the RUs that interchange trains running at border stations are not covered in this leaflet, but are dealt with in other leaflets including *UIC Leaflets 471-2, 471-3, and 474* (see [Bibliography - page 27](#)).

2 - IM-IM agreement

NB: the term “instructions” used under each heading applies to the drafting instructions or guidelines given for each subject in question.

2.1 - General principles

2.1.1 - Purpose of the agreement

Instructions

To define the context and all aspects of the connection and management of border sections with the aim of creating secure, unobstructed and non-discriminatory traffic flows.

2.1.1.1 - Level 1 (Generic)

Instructions

General conditions agreed between 2 IMs about how they will connect their networks, including common rules.

2.1.1.2 - Level 2 (Local)

Instructions

Specific agreement for operational arrangements and rules for each individual border section.

2.1.2 - Titre of the agreement

2.1.2.1 - Level 1

Instructions

General regulations governing the management of all the border sections connecting IM (*company's title to be specified*) and IM (*company's title to be specified*).

2.1.2.2 - Level 2

Instructions

Local provisions for the management of the border section between ... (*location to be specified*) and ... (*location to be specified*).

2.1.3 - Scope of the agreement (Levels 1 and 2)

2.1.3.1 - Geographic scope

Instructions

Level 1 and 2 agreements: IMs to define and indicate by name:

- **territorial state,**
- **neighbouring state,**
- **territorial IM,**
- **neighbouring IM,**
- **border stations.**

2.1.3.2 - Definitions

Instructions

To be included in accordance with the context and the needs of the agreement. Examples are shown in points [2.1.3.2.1](#) to [2.1.3.2.4](#) - page 6.

2.1.3.2.1 - Border section

Instructions

The section of line, between limits defined and agreed by both IMs, to which the agreement shall apply.

2.1.3.2.2 - National boundary

Instructions

The frontier between two states.

2.1.3.2.3 - Operational boundary

Instructions

The point of interface between neighbouring IMs' rules.

UIC's recommendations

This location (usually a station) to be determined by local operational circumstances.

2.1.3.2.4 - Maintenance boundaries

Instructions

The point(s) of interface for maintenance of neighbouring IMs' track, signalling, telecommunications and electrification equipment.

UIC's recommendations

The boundary points to be determined by local circumstances, taking into account the geographical spread of different IMs' systems.

For each asset type the safety and practicality of maintenance arrangements should be considered when determining the boundary point.

2.1.4 - Information, publication and distribution (Levels 1 and 2)

2.1.4.1 - Organisations responsible for administration of the agreement

Instructions

To be documented in the agreement. IMs to indicate who is responsible for writing, reviewing, upgrading, validating, approving and signing the document for each party.

UIC's recommendations

There should be a single document covering both parties, if necessary using both languages.

2.1.4.2 - Distribution of the agreement

Instructions

The following to be determined by each IM before agreement of the deadline for implementation:

- method of distribution;
- method of briefing/awareness;
- acknowledgement of receipt.

2.1.4.3 - Deadline for implementation

Instructions

To be defined by IMs in the agreement.

2.1.5 - Legal aspect of the agreement (Levels 1 and 2)

2.1.5.1 - Contract conditions

Instructions

IMs to define the terms of the agreement.

2.1.5.2 - Validity

Instructions

IMs to define the period of validity of the agreement.

UIC's recommendations

Parties should determine when the agreement will become subject to periodic review.

2.1.5.3 - Non-compliance by one party

Instructions

IMs to define how issues of non-compliance shall be managed.

2.1.5.4 - Data retention

Instructions

The types of data to be retained, the IM responsible for retaining each type of data, and the period of retention, to be defined by IMs in the agreement.

2.1.5.5 - Data security

Instructions

IMs to indicate how and where they protect data during retention and how they provide it to the other IM.